



32692

Customer Number

Patent
Case No.: 59333US002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: SCHULTZ, JOHN C.

Application No.: 10/727220

Group Art Unit: 2875

Filed: December 2, 2003

Examiner: Unknown

Title: ILLUMINATION ASSEMBLY

INFORMATION DISCLOSURE STATEMENTCommissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

April 13, 2004

Date

Signed by:

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. Copies of any cited foreign patents, non-patent literature, and unpublished US application documents are enclosed. Pursuant to the waiver in the Pre-OG Notice, dated July 11, 2003, copies of US patents and published US patent applications are no longer required and are not enclosed. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

It is believed that no fee is due; however, in the event a fee is required, please charge the fee to Deposit Account No. 13-3723.

Respectfully submitted,

Apr. 13, 2004
DateBy: Bruce E. Black
Bruce E. Black, Reg. No.: 41,622
Telephone No.: (651) 736-3366Office of Intellectual Property Counsel
3M Innovative Properties Company
Facsimile No.: 651-736-3833

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Use as many sheets as necessary)

Page 1 of 2

Application Number

10/727220

Filing Date

December 2, 2003

First Named Inventor

Schultz, John C.

Art Unit

2875

Examiner Name

Attorney Case Number

59333US002

U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US- 5,227,008	07/13/1993	Klun et al.	
	A2	US- 5,299,222	03/29/1994	Shannon et al.	
	A3	US- 5,574,817	11/12/1996	Henson et al.	
	A4	US- 5,611,017	03/11/1997	Lee et al.	
	A5	US- 5,808,794	09/15/1998	Weber et al.	
	A6	US- 5,882,774	03/16/1999	Jonza et al.	
	A7	US- 5,967,653	10/19/1999	Miller et al.	
	A8	US- 6,224,216 B1	05/01/2001	Parker et al.	
	A9	US- 2001/0001207	05/17/2001	Shimizu et al.	
	A10	US- 2001/0010449	08/02/2001	Chiu et al.	
	A11	US- 2002/0024055 A1	02/28/2002	Uemura et al.	
	A12	US- 2002/0113244	08/22/2002	Barnett et al.	
	A13	US- 2002/0176251 A1	11/28/2002	Plank et al.	
	A14	US- 2003/0001488	01/02/2003	Robert C. Sundahl	
	A15	US- 2003/0052594	03/20/2003	Matsui et al.	
	A16	US- 2003/0057421	03/27/2003	Tzer-Perng Chen	
	A17	US- 6,560,038 B1	05/06/2003	Parkyn, Jr. et al.	
	A18	US- 6,603,258 B1	08/05/2003	Mueller-Mach et al.	
	A19	US- 2003/0142500 A1	07/31/2003	Bachl et al.	
	A20	US- 2003/0178627	09/25/2003	Marchl et al.	
	A21	US- 6,692,250	02/17/04	Decaudin et al.	

Foreign Patent Documents

Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (If known)				
	B1	DE	201 11 814 U1	12/20/2001			Abstract
	B2	EP	1 260 196 A2	11/27/2002			Abstract
	B3	JP	07240536 A	09/12/1995			Abstract

*Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 2 of 2	Application Number	10/727220
	Filing Date	December 2, 2003
	First Named Inventor	Schultz, John C.
	Art Unit	2875
	Examiner Name	
	Attorney Case Number	59333US002

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS		
Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	C1	Hsu, J.T. et al., "Design of multi-chips LED module for lighting application", <i>Solid State Lighting II, Proceedings of SPIE</i> (2002), Vol. 4776, pp. 26-33.
	C2	Serial No. 10/317,734 filed 12/02/2002 as our Docket No. 57755US002 having Title - Optical fiber or Waveguide Lens
	C3	Serial No. 60/430,230 filed 12/02/2002 as our Docket No. 58130US002 having Title - Illumination System Using a Plurality of Remote Light Sources
	C4	Serial No. 60/443,232 filed 01/27/2003 as our Docket No. 58390US002 having Title - Methods of Making LED-excited Phosphor- based Light Sources
	C5	Serial No. 60/443,235 filed 01/27/2003 as our Docket No. 58388US002 having Title - LED-excited Phosphor-based Light Sources with Front Illumination
	C6	Serial No. 60/443,274 filed 01/27/2003 as our Docket No. 58389US002 having Title - LED-excited Phosphor-based Light Sources
	C7	Serial No. 10/670,630 filed 09/25/2003 as our Docket No. 58385US002 having Title - Lensed Optical Fiber and Method for Making the Same
	C8	Serial No. 10/726,222 filed 12/02/2003 as our Docket No. 58130US004 having Title - Illumination System Using A Plurality Of Light Sources
	C9	Serial No. 10/726,997 filed 12/02/2003 as our Docket No. 58389US004 having Title - Phosphor Based Light Sources Having a Polymeric Long Pass Reflector
	C10	Serial No. 10/726,244 filed 12/02/2003 as our Docket No. 59121US002 having Title - Reflective Light Coupler
	C11	Serial No. 10/726,225 filed 12/02/2003 as our Docket No. 59349US002 having Title - Solid State Light Device
	C12	Serial No. 10/726,248 filed 12/02/2003 as our Docket No. 59376US002 having Title - Multiple LED Source and Method for Assembling Same
	C13	Serial No. 10/727,072 filed 12/02/2003 as our Docket No. 59416US002 having Title - Phosphor Based Light Sources Having a Non-Planar Long Pass Reflector
	C14	Serial No. 10/726,257 filed 12/02/2003 as our Docket No. 59432US002 having Title - LED Curing Apparatus and Method
	C15	Serial No. 10/727,023 filed 12/02/2003 as our Docket No. 58390US004 having Title - Methods of Making Phosphor Based Light Sources Having an Interference Reflector

*Examiner:	Date Considered:
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	